

Required Documentation:  
Determination and Overview  
(EPTM Chapter 3)



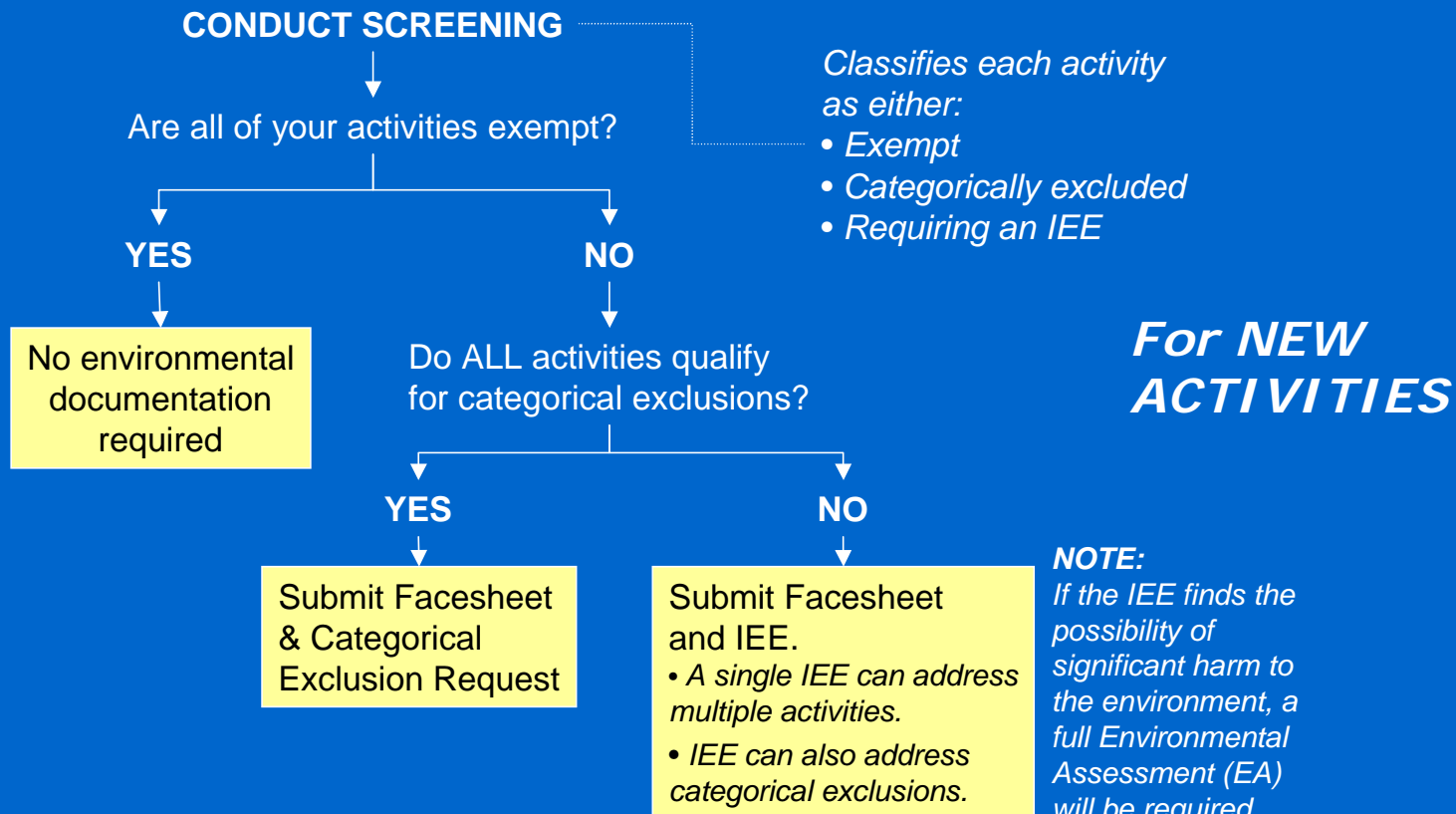
## This Section has four parts:

- ◆ What environmental documentation must I submit?
- ◆ The four basic environmental documents: an overview
- ◆ Preparation, submission and approval process
- ◆ What if the IEE results in a Positive Determination?



# What environmental documentation must I submit?

◆ Depends on your screening outcomes:



## 4 basic documents

- ◆ Facesheet
  - ◆ Always submitted (except for exemptions)
- ◆ Categorical Exclusion Request
  - ◆ When you have only categorical exclusions
- ◆ IEE
  - ◆ When ANY screening outcome is “IEE required”
- ◆ ESR (Environmental Status Report)
  - ◆ Title II only, submitted with each year’s annual report



# Compliance Facesheet

## ◆ Very simple!

- ◆ Basic activity or Project Information
- ◆ Indicates whether activity is new or continuing
- ◆ Screening outcomes
- ◆ Recommended IEE determination(s), if applicable



# Categorical Exclusion Request

- ◆ Used when ALL activities are excluded
- ◆ Includes:
  - ◆ Brief description of activities
  - ◆ Justification of categorical exclusion (I.e., cite the appropriate language in Reg. 216)

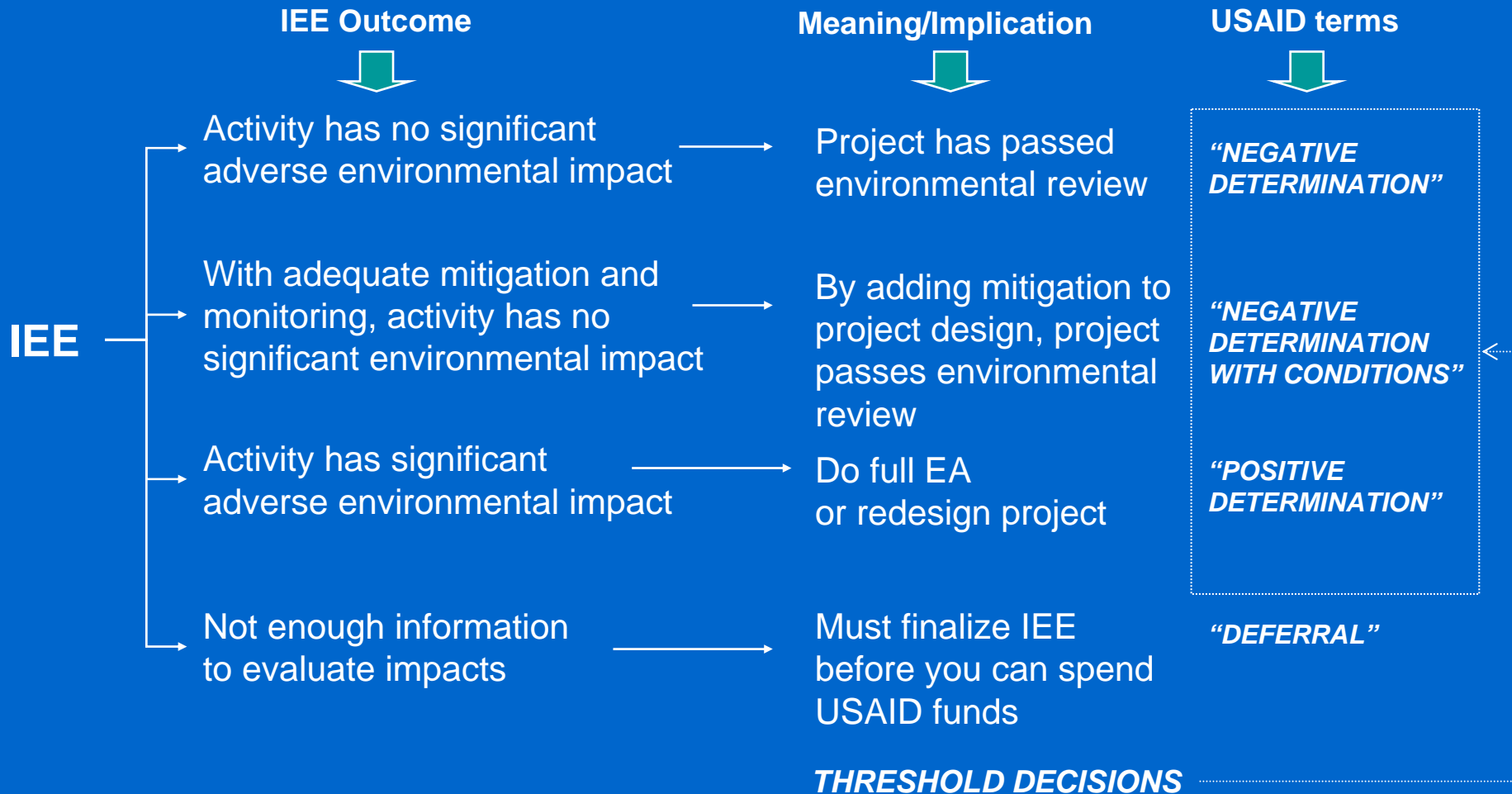


# IEE

- ◆ Used when at least one screening outcome is “IEE required”
- ◆ An IEE:
  - ◆ Is the first review of foreseeable effects on the environment of a proposed action
  - ◆ Indicates whether significant adverse impacts are expected/possible
    - ➔ If yes, an EA will be required
  - ◆ Identifies mitigation and monitoring actions needed



# IEE Outcomes





# Basic IEE outline

- ◇ **Basic Information:** Program/Project Data; Program/Activity; USAID Partner Name; Country/Region:
- ◇ **1 Background and Activity Description**
  - 1.1 Background; 1.2 Description of Activities;
  - 1.3 Purpose and Scope of IEE
- ◇ **2 Country and Environmental Information** (Baseline Information)
  - 2.1 Locations Affected
  - 2.2 National Environmental Policies and Procedures
- ◇ **3 Evaluation of Environmental Impact Potential**
- ◇ **4 Recommended Determinations and Mitigation Actions** (Including Monitoring and Evaluation)
  - 4.1 Recommended IEE Determinations (*includes justification of categorical exclusions identified during screening*)
  - 4.2 Mitigation, Monitoring and Evaluation
  - 4.3 Summary table



# Environmental Status Report

- ◆ Submitted only for Title II-funded projects
- ◆ Appended to annual report
- ◆ Certifies that mitigation and monitoring are being carried out
- ◆ Identifies changes to implementation that may have environmental effects



# Preparation, submission and approval process

- ◆ In general, USAID Partner or Mission has responsibility for preparing documentation
  - ◆ In ANE, typically Mission has responsibility
- ◆ Documentation must accompany project proposals or amendments
- ◆ All Cat Ex and IEEs must be cleared at the Mission level, and then by USAID/Washington
  - ◆ In the case of title II activities, both FFP Director and BEO must concur



# Preparation, submission and approval process

- ◆ Recommended: get feedback on draft documentation
  - ◆ **clearly mark and date** all drafts:
    - ➔ “DRAFT -- Not Yet Approved by Mission”



# Preparation, submission and approval process

## ◆ Remember:

- ◆ Threshold decisions are RECOMMENDATIONS until they are approved by the Mission AND USAID/Washington
- ◆ These recommendations can be rejected at either level
- ◆ Categorical Exclusions are NOT absolute or guaranteed



# What if the IEE results in a positive determination?

- ◆ A full Environmental Assessment is required
  - ◆ Requires a professional team, significant resources and time
  - ◆ Therefore, consult with MEO and BEO in ADVANCE regarding a possible positive determination
  - ◆ 1<sup>st</sup> step is the SCOPING PROCESS (as specified by Reg. 216)



# Scoping

- ◆ Under standard EIA procedures, *scoping* is the first step in undertaking a full assessment study
- ◆ Purpose of scoping: establish scope of work for the full EIA
  - ◆ Issues to be addressed
  - ◆ Boundaries of the study
  - ◆ Methodology, types of expertise required

# Scoping Process

- ◆ Scoping is a PROCESS which
  - ◆ Gathers information from a variety of sources
  - ◆ Provides a forum for technical and stakeholder concerns to be raised
  - ◆ Should be PUBLIC and CONSULTATIVE
    - ➔ Regulation 216 requires collaboration with the host country “to the maximum extent possible”
    - ➔ AND that “persons having expertise relevant to the proposed action shall participate.”





# The scoping statement

- ◆ The scoping statement is the DELIVERABLE resulting from the scoping process
- ◆ Regulation 216 requires that the statement:
  - ◆ Characterize scope and significance of issues to be analyzes
  - ◆ Describe timing, variations from standard EA format, tentative schedule
  - ◆ Describe methodology and disciplinary specialties required



# The scoping statement

- ◆ Like other documentation, scoping statements must be approved at Mission and USAID/Washington levels
- ◆ Prepared by the responsible party
  - ◆ Mission (typical for ANE)
  - ◆ Or USAID partner
  - ◆ May have contractor assistance



# The EA

- ◆ Once scoping statement is approved, EA can begin
- ◆ EA outline set out in Reg 216
- ◆ TOR for specialists derive directly from scoping statement

